

IN THE UNITED STATES DISTRICT COURT
FOR THE WESTERN DISTRICT OF WISCONSIN

COMMODITY FUTURES TRADING
COMMISSION and SECURITIES
EXCHANGE COMMISSION,

SPECIAL VERDICT

Plaintiffs,

v.

20-cv-075-wmc & 20-cv-076-wmc,
Consolidated

EDWARD S. WALCZAK.

Defendant.

We, the jury, for our special verdict, do find as follows:

QUESTION 1: Did Defendant Edward S. Walczak violate:

(a) Section 17(a)(1) of the Securities Act?

ANSWER: Yes _____ No X

(b) Section 17(a)(2) of the Securities Act?

ANSWER: Yes X No _____

(c) Section 17(a)(3) of the Securities Act?

ANSWER: Yes X No _____

QUESTION 2: Did Defendant Edward S. Walczak violate Section 6(c)(1) of the Commodity Exchange Act and CFTC Regulation 180.1?

ANSWER: Yes _____ No ~~X~~

QUESTION 3: Did Defendant Edward S. Walczak violate Section 4o(1)(A) of the Commodity Exchange Act?

ANSWER: Yes _____ No ~~X~~

QUESTION 4: Did Defendant Edward S. Walczak violate Section 4o(1)(B) of the Commodity Exchange Act?

ANSWER: Yes ~~X~~ No _____

QUESTION 5: Did Defendant Edward S. Walczak violate:

(a) Section 206(1) of the Investment Advisors Act?

ANSWER: Yes _____ No ~~X~~

(b) Section 206(2) of the Investment Advisors Act?

ANSWER: Yes ~~X~~ No _____

QUESTION 6: Did Defendant Edward S. Walczak violate Section 206(4) of the Investment Advisors Act and Rule 206(4)-8 thereunder?

ANSWER: Yes X No _____



Presiding Juror

Madison, Wisconsin

Dated this 15th day of April, 2022.